

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

|            |                                       |                               |
|------------|---------------------------------------|-------------------------------|
| In Re:     | Andrés F. Zuluaga and Jeffrey A. Korn | Patent Application            |
| Serial No: | Not yet assigned                      | Confirmation No: Not assigned |
| Filed:     | Not yet assigned                      | Group: Not yet assigned       |
| For:       | Side Firing Fiber Optic Array Probe   | Examiner: Not yet assigned    |

\*\*\*\*\*  
CERTIFICATE OF EXPRESS MAIL

I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as Express Mail, Express Mail Label No. EV 413602654 US in an envelope addressed to: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

By:   
Deborah Celeste

1/27/04  
Date

\*\*\*\*\*  
INFORMATION DISCLOSURE STATEMENT

Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

This Information Disclosure Statement is submitted:

- ☐ under 37 CFR 1.129(a), or  
(First/Second submission after Final Rejection)
- ☒ under 37 CFR 1.97(b), or  
(Within any one of the following time periods: three months of filing national application (other than a CPA) or date of entry of the national stage in an international application; or before the mailing date of a first office action on the merits in a non-provisional application, including a CPA, or a Request for Continued Examination).
- ☐ under 37 CFR 1.97(c) together with either:
- ☐ a Statement under 37 CFR 1.97(e), as checked below, or
- ☐ a \$180.00 fee under 37 CFR 1.17(p), or  
(After the 37 CFR 1.97(b) time period, but before final action or notice of allowance, whichever occurs first)
- ☐ under 37 CFR 1.97(d) together with:
- ☐ a Statement under 37 CFR 1.97(e), as checked below, and
- ☐ a \$180.00 fee under 37 CFR 1.17(p), or  
(Filed after final action or notice of allowance, whichever occurs first, but on or before payment of the issue fee)
- ☐ under 37 CFR 1.97(i):

Applicant requests that the IDS and cited reference(s) be placed in the application filewrapper.  
(Filed after payment of issue fee)

Statement Under 37 CFR 1.97(e)

- ☐ Each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement; or
- ☐ No item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned, after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

Statement Under 37 CFR 1.704(d) (Patent Term Adjustment)

Applies to original applications (other than design) filed on or after May 29, 2000

- ☐ Each item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in ' 1.56(c) more than thirty days prior to the filing of the Information Disclosure Statement.

☒ Enclosed herewith is form PTO-1449:

☒ Copies of the cited references are enclosed except US references.

☐ References cited were entered in prior application, U.S. Application No. \_\_\_\_\_, to which priority under 35 U.S.C. 120 is claimed. [The earlier application contains copies of the cited references.]

☐ The listed references were cited in the enclosed International Search Report in a counterpart foreign application.

☒ The "concise explanation" requirement (non-English references) for reference(s) [JP01186904A and JP02167508] under 37 CFR 1.98(a)(3) is satisfied by:

☒ the explanation provided on the attached sheet.

☐ the explanation provided in the Specification.

☐ submission of the enclosed International Search Report.

☐ submission of the enclosed English-language version of a foreign Search Report and/or foreign Office Action.

☒ the enclosed English language abstract.

☐ Applicant requests that the following non-published pending applications be considered:  
Examiner's Initials

\_\_\_\_ U.S. Patent Application No. [ ], by [inventor(s)], filed [ ], Docket No.: [ ]

\_\_\_\_\_ U.S. Patent Application No. [ ], by [inventor(s)], filed [ ], Docket No.: [ ]

\_\_\_\_\_ U.S. Patent Application No. [ ], by [inventor(s)], filed [ ], Docket No.: [ ]

Examiner

Date

- ☐ A copy of each above-cited application, including the current claims, is enclosed.
- ☐ A copy of each above-cited application, including the current claims, is enclosed, except those entered in prior application, U.S. Application No. [ ], to which priority under 35 U.S.C. 120 is claimed.

The Examiner is requested to return a copy of the above list of pending applications indicating which references were considered with the next office communication.

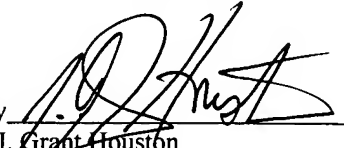
It is requested that the information disclosed herein be made of record in this application.

Method of payment:

- ☐ A check for the fee noted above is enclosed, or the fee has been included in the check with the accompanying Reply. A copy of this Statement is enclosed.
- ☐ Please charge Deposit Account 502 233 in the amount of \$[ ]. A copy of this Statement is enclosed.
- ☐ Please charge any deficiency in fees and credit any overpayment to Deposit Account 502 233.
- ☒ No fee is required.

Respectfully submitted,

By

  
J. Grant Houston  
Registration No. 35,900  
Houston Eliseeva LLP  
4 Militia Drive, Ste. 4  
Lexington, MA 02421  
Telephone: 781-863-9991  
Facsimile: 781-863-9931

Dated: January 27, 2004

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Substitute for form 1449/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

**Complete if Known**

|                        |                   |
|------------------------|-------------------|
| Application Number     | Not assigned      |
| Filing Date            | Not assigned      |
| First Named Inventor   | Andres R. Zuluaga |
| Art Unit               | Not assigned      |
| Examiner Name          | Not assigned      |
| Attorney Docket Number | 0010.0009US1      |

Sheet 1 of 1

**U. S. PATENT DOCUMENTS**

| Examiner Initials* | Cite No. <sup>1</sup> | Document Number                          | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines, Where<br>Relevant Passages or Relevant<br>Figures Appear |
|--------------------|-----------------------|--|--------------------------------|--|---|
|                    |                       | Number-Kind Code <sup>2</sup> (if known) |                                |  |   |
|                    |                       | US- 5,428,699                            | 06-27-1995                     | Pon  |   |
|                    |                       | US- 5,498,260                            | 03-12-1996                     | Rink et al.  |   |
|                    |                       | US- 5,562,657                            | 10-08-1996                     | Griffin  |   |
|                    |                       | US- 5,772,657                            | 06-30-1998                     | Hmelar et al.                                      |   |
|                    |                       | US- 5,964,747                            | 10-12-1999                     | Eaton et al.                                       |   |
|                    |                       | US- 6,004,315                            | 12-21-1999                     | Dumont   |   |
|                    |                       | US- 6,421,164 B2                         | 07-16-2002                     | Tearney et al.                                     |   |
|                    |                       | US- 6,445,939 B1                         | 09-03-2002                     | Swanson et al.                                     |   |
|                    |                       | US- 6,485,413 B1                         | 11-26-2002                     | Boppart et al.                                     |   |
|                    |                       | US- 6,564,087                            | 05-13-2003                     | Pitris et al.                                      |   |
|                    |                       | US- 2003/0236453 A1                      | 12-25-2003                     | Furnish  |   |
|                    |                       | US- 5,733,277                            | 03-31-1998                     | Pallarito  |   |
|                    |                       | US- 5,366,456                            | 11-22-1994                     | Rink, et al.                                       |   |
|                    |                       | US-                                      |                                |  |   |
|                    |                       | US-                                      |                                |  |   |
|                    |                       | US-                                      |                                |  |   |
|                    |                       | US-                                      |                                |  |   |
|                    |                       | US-                                      |                                |  |   |
|                    |                       | US-                                      |                                |  |   |

**FOREIGN PATENT DOCUMENTS**

| Examiner Initials* | Cite No. <sup>1</sup> | Foreign Patent Document   | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines,<br>Where Relevant Passages<br>Or Relevant Figures Appear | T <sup>6</sup> |
|--------------------|-----------------------|---|--------------------------------|--|---|----------------|
|                    |                       | Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known) |                                |  |   |                |
|                    |                       | JP 01186904 A   | 07-26-1989                     | Kazuhisa   |   |                |
|                    |                       | JP 02167508 A   | 06-27-1990                     | Yoichi et al.                                      |   |                |
|                    |                       | JP 57157515   | 03-16-1984                     | Tadashi  | Abstract Only   |                |
|                    |                       | WO 97/12210   | 04-03-1997                     | Tjin   |   |                |
|                    |                       |   |                                |  |   |                |
|                    |                       |   |                                |  |   |                |

Examiner  
SignatureDate  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

Statements of relevance in Zuluaga, attorney docket 0010.0009US1

JP 01186904- Shows an optical fiber array with side firing terminations through a plate glass member.

JP02167508- Shows an optical fiber with a side firing termination directing light through an hemispherical portion of the fiber tip.